

04-27-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. P04822US0

First Inventor THEISEN, LYLE

Title THERMOCHROMIC/PHOTOCHROMIC COSMETIC

Express Mail Label No. EL 745290868

11036 U.S. PTO
09/843219

04/26/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 24]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets]
5. Oath or Declaration [Total Pages]
 - a. ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
 - b. ☐ (for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____ / _____

Prior application information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

22885

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

515-288-3667

Fax

515-288-1338

Name (Print/Type)

Wendy K. Marsh

Registration No. (Attorney/Agent)

39,705

Signature

Date

4/26/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

395.00

Complete if Known

Application Number	
Filing Date	
First Named Inventor	THEISEN, LYLE
Examiner Name	
Group Art Unit	
Attorney Docket No.	P04822US0

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **26-0084**

Deposit Account Name **Zarley, McKee, Thomte, Voorhees & Sease**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ **Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

	Large Entity		Small Entity			
	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
	101	710	201	355	Utility filing fee	355
	106	320	206	160	Design filing fee	
	107	490	207	245	Plant filing fee	
	108	710	208	355	Reissue filing fee	
	114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)

355

2. EXTRA CLAIM FEES

	Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
	20	4		-20** = 0	0	0
				-3** = 1	40	40
					0	0

	Large Entity		Small Entity		
	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
	103	18	203	9	Claims in excess of 20
	102	80	202	40	Independent claims in excess of 3
	104	270	204	135	Multiple dependent claim, if not paid
	109	80	209	40	** Reissue independent claims over original patent
	110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

40

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

	Large Entity		Small Entity			
	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
	105	130	205	65	Surcharge - late filing fee or oath	
	127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
	139	130	139	130	Non-English specification	
	147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
	112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
	113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
	115	110	215	55	Extension for reply within first month	
	116	390	216	195	Extension for reply within second month	
	117	890	217	445	Extension for reply within third month	
	118	1,390	218	695	Extension for reply within fourth month	
	128	1,890	228	945	Extension for reply within fifth month	
	119	310	219	155	Notice of Appeal	
	120	310	220	155	Filing a brief in support of an appeal	
	121	270	221	135	Request for oral hearing	
	138	1,510	138	1,510	Petition to institute a public use proceeding	
	140	110	240	55	Petition to revive - unavoidable	
	141	1,240	241	620	Petition to revive - unintentional	
	142	1,240	242	620	Utility issue fee (or reissue)	
	143	440	243	220	Design issue fee	
	144	600	244	300	Plant issue fee	
	122	130	122	130	Petitions to the Commissioner	
	123	50	123	50	Processing fee under 37 CFR 1.17(q)	
	126	180	126	180	Submission of Information Disclosure Stmt	
	581	40	581	40	Recording each patent assignment per property (times number of properties)	
	146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
	149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
	179	710	279	355	Request for Continued Examination (RCE)	
	169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

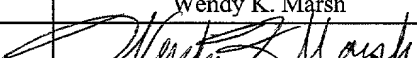
*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

0

SUBMITTED BY

Name (Print/Type) **Wendy K. Marsh**

Signature 

Registration No.
(Attorney/Agent)

39,705

Complete (if applicable)Telephone **515-288-3667**Date **4/26/01**

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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